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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of : Samuel D. CONZONE et al.

Serial No.: 09/855,741

Group Art Unit: 2872

Filed: May 16, 2001

Examiner: F. Assaf

For: PHOTONIC DEVICES FOR OPTICAL AND OPTOELECTRONIC INFORMATION PROCESSING

INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR §§ 1.56, 1.97 and 1.98

Assistant Commissioner for Patents
Washington, D. C. 20231

Sir:

CITED MATERIALS

Applicant(s) hereby disclose the information listed in the attached form PTO-1449.

- ☐ Copies of materials listed were cited in parent application Serial No. _____; see 37 C.F.R. § 1.98(d).
- ☒ Also included are the pending U.S. applications listed below, copies of which are attached:

USSN 09/597,157, filed June 20, 2000
USSN 10/048,946, filed February 6, 2002

- ☐ Copies of materials listed but not attached were cited in an International Search Report dated _____; receipt of the International Search Report and copies of references was confirmed by the PCT International Division of the U.S. PTO in the Notice of Acceptance mailed _____.

ADDITIONAL INFORMATION

[NONE?]

LANGUAGE

- ☐ All listed materials are in the English language; see 37 C.F.R. § 1.98.
- ☐ Non-English language references:
- ☐ The reference(s): _____ in the English-language is (are) indicated by commercial data bases to correspond to the reference(s): _____, respectively.

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☐ (An) English-language translation(s) of the references: is (are) provided.

☐ A commercial English-language abstract of reference(s) is (are) provided.

☐ An English-language search report or an equivalent paper from a foreign patent office translated into English in pertinent part in connection with a counterpart foreign application, is provided indicating the relevance of the cited reference(s).

FEES

☐ No fee is required for this Information Disclosure Statement because:

☐ This Information Disclosure Statement is being filed within three months of the filing date of a national application (other than a CPA) under § 1.53(d) or within 3 months of the date of entry of the national stage under § 1.491 in an international application;

☐ This Information Disclosure Statement is being filed before the mailing of a first action on the merits;

☐ This Information Disclosure Statement is being filed after a first action on the merits but before the mailing date of any of a final action under § 1.113, a notice of allowance under § 1.311, or an action that closes prosecution in the application, and is accompanied by a certification below.

☐ This Information Disclosure Statement is filed under 37 C.F.R. § 1.97(i).

☒ A fee is required for this Information Disclosure Statement:

☒ This Information Disclosure Statement is being filed after a first action on the merits but before the mailing date of any of a final action under § 1.113, a notice of allowance under § 1.311 or an action that closes prosecution, and is accompanied by the fee set forth in §1.17(p).

☐ This Information Disclosure Statement is being filed after the mailing date of a final rejection or a notice of allowance under § 1.311 or an action that closes prosecution, but before the payment of the issue fee, and is accompanied by the fee set forth in § 1.17(p) and a certification below.

CERTIFICATION

☐ Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign

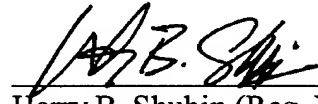
application not more than three months prior to the filing of this statement.

- ☐ No item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the undersigned, having made reasonable inquiry, no such item was known to any individual designated in 37 CFR § 1.56(c), more than three months prior to the filing of this statement.

DEPOSIT ACCOUNT

If a fee is due, attached is a check in the amount of \$180.00. However, the Commissioner is hereby authorized to charge fees under 37 CFR § 1.16 and § 1.17 which may be required to facilitate this filing, or credit any overpayment to Deposit Account #13-3402, two copies of this paper are attached for this purpose.

Respectfully submitted,



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